



UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF NEW YORK

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UNITED STATE SECURITIES AND
EXCHANGE COMMISSION,

Plaintiff,

-against-

CHARLES VISTA, LLC,

Defendant.
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JUDGMENT
14-CV- 2643 (PKC)

Order of Honorable Pamela K. Chen, United States District Judge, having been filed on May 28, 2014, granting Plaintiff's motion for a default judgment; directing the Clerk of Court to enter judgment in favor of Plaintiff and against Defendant requiring Defendant to pay to the Commission (i) a civil money penalty of \$4,350,000.00, and (ii) pre-judgment interest on the civil money penalty pursuant to 31 U.S.C. § 3717, from the date of the Commission Order to the date of the Court's Order, in the amount of \$22,524.66; ordering that Defendant Charles Vista, LLC shall make payment in one of the following ways:

- (1) Charles Vista, LLC may make direct payment from a bank account via Pay.gov through the Securities and Exchange Commission website at <http://www.sec.gov/about/offices/ofm.htm>; or
- (2) Charles Vista, LLC may pay by certified check, bank cashier's check, or United States postal money order, may payable to the Securities and Exchange Commission and hand-delivered or mailed to:

Exchange Services Center
Accounts Receivable Branch
HQ Bldg., Room 181, AMZ-341

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Oklahoma City, OK 73169

further, ordering that payments by check or money order must be accompanied by a cover letter, identifying Charles Vista, LLC as the respondent in this proceeding and the name of the Court and the docket number of this proceeding; and a copy of the cover letter and check or money order must be sent to John J. Graubard, Securities and Exchange Commission, New York Regional Office, 200 Vesey Street, Room 400, New York, NY 10281-1022; directing that the Commission may enforce the Court's Order for civil penalties as provided by the Federal Rules of Civil Procedure Act, 28 U.S.C. §§ 3001-3308; ordering that Charles Vista, LLC shall pay post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961; and the Court shall retain jurisdiction for the purposes of enforcing the terms of the judgment; it is

ORDERED and ADJUDGED that Plaintiff's motion for a default judgment is granted; that judgment is hereby entered in favor of Plaintiff United States Securities and Exchange Commission and against Defendant Charles Vista, LLC, that Charles Vista, LLC pay to the Commission a civil penalty of (with prejudgment interest thereon) in the amount of \$4,372,524.66; and that it is further,

ORDERED and ADJUDGED that Defendant Charles Vista, LLC make payment in one of the following ways, from a bank account via Pay.gov through the Securities and Exchange Commission website at <http://www.sec.gov/about/offices/ofm.htm>; or may pay by certified check, bank cashier's check, or United States postal money order, made payable to the Securities and Exchange Commission and hand delivered or mailed to, Enterprises Services Center, Accounts Receivable Branch, HQ Bldg., Room 181, AMZ-341, 6500 South MacArthur

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Boulevard, Oklahoma City, OK 73169; and that it is further,

ORDERED and ADJUDGED that the Securities and Exchange Commission may enforce the Court's Order for civil penalties as provided by the Federal Debt Collection Procedures Act, 28 U.S.C. §§ 3001-3308; that Defendant Charles Vista, LLC shall pay post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961; and that it is further,

ORDERED and ADJUDGED that the Court shall retain jurisdiction for the purposes of enforcing the terms of the judgment.

Dated: Brooklyn, New York
May 29, 2014

Douglas C. Palmer
Clerk of Court

by: /s/ Janet Hamilton
Deputy Clerk